

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 10/042,371
Date Filed: December 27, 2001
Title: SYSTEMS AND METHODS FOR CREATING AND TRADING
DYNAMIC SECURITIES
Applicant: Andrew C. GILBERT
Group Art Unit: 3691
Confirmation No.: 6761
Examiner: Chuks N. Onyezia

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Applicant submits herewith patents, publications or other information of which he is aware that he believes may be material to the patentability of this application, and in respect of which, there may be a duty to disclose.

The filing of this Information Disclosure Statement shall not be construed as (i) a representation that a thorough search has been made; (ii) an admission that the information cited is, or is considered to be material to patentability; (iii) an admission that no other material information exists; or (iv) an admission that Applicant agrees with any statement(s) in the information cited. Nor shall the filing of this information disclosure statement be construed as an admission against interest in any manner.

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98. The items listed on the accompanying PTO Form-1449 may be pertinent to the above-identified application and are made of record to assist the Patent and Trademark Office in its examination of this application.

The Examiner is respectfully requested to fully consider the items listed on the enclosed PTO Form-1449, to independently ascertain their teaching, and to initial beside each reference listed. Please return a copy of the initialed citation form to the Applicant's undersigned representative.

Fees

This Information Disclosure Statement is filed pursuant to 37 C.F.R § 1.97(d)(1) and (2), after the period specified in 37 C.F.R. § 1.97(c). In addition, this Information Disclosure Statement is filed in accordance with 37 C.F.R § 1.97(e)(2); that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and to the knowledge of applicants after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of the information disclosure statement.

Pursuant to 37 C.F.R § 1.97(d)(2), Applicant herein authorizes the Commissioner to charge Deposit Account No. 50-3938 in the amount of \$180.00 for the fee set forth in 37 C.F.R § 1.17(p).

Respectfully submitted,

February 24, 2009

Date

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